



GALL 2872

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James Allen Cox et al.

Serial No.: 09/751,422

Examiner Unknown

Filed: December 29, 2000

Group Art Unit 2872

For: RESONANT REFLECTOR FOR USE WITH OPTOELECTRONIC DEVICES

Docket No.: 1100.1130101 (H16-25181)

RECEIVED
MAY 31 2001
TC 200 MAIL ROOM**TRANSMITTAL SHEET**Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

CERTIFICATE UNDER 37 C.F.R. 1.8: I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 25th day of May, 2001.

By

Brian N. Tufte

We are transmitting herewith the attached:

☐ Amendment☐ No additional fee required☐ The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		x9=	\$	x18=	\$
INDEPENDENT CLAIMS	-	=		x39=	\$	x78=	\$
() FIRST MULTIPLE DEPENDENT CLAIM				+130=	\$	+260=	\$
TOTAL				\$		\$	



A check in the amount of \$_____ is enclosed.

[]

Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.

[X]

Other: Information Disclosure Statement, PTO Form-1449 and cited references

[X]

Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By: _____

Brian N. Tufte

Reg. No. 38,638

Brian N. Tufte
CROMPTON, SEAGER & TUFTE, LLC
331 Second Avenue South
Suite 895
Minneapolis, Minnesota 55401-2246
Telephone: (612) 677-9050
Facsimile: (612) 359-9349

RECEIVED
MAY 31 2001
TC 2800 MAIL ROOM



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James Allen Cox et al.

Serial No.: 09/751,422

Examiner Unknown

Filed: December 29, 2000

Group Art Unit 2872

For: RESONANT REFLECTOR FOR USE WITH OPTOELECTRONIC DEVICES

Docket No.: 1100.1130101 (H16-25181)

#41/IDS
6/22/01
C. McKinney

Assistant Commissioner
for Patents
Washington, D.C. 20231

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS
BEING DEPOSITED WITH THE UNITED STATES POSTAL
SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE
ADDRESSED TO: ASSISTANT COMMISSIONER FOR
PATENTS, WASHINGTON, D.C. 20231.

25th DAY OF May, 2001
Brian N. Tufte

Dear Sirs:

INFORMATION DISCLOSURE STATEMENT

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

James Allen Cox et al.

By their attorney

Dated: May 25, 2001

Brian N. Tufte, Reg. No. 38,638
CROMPTON, SEAGER & TUFTE, LLC
331 Second Avenue South, Suite 895
Minneapolis, MN 55401-2246
Telephone: (612) 677-9050
Facsimile: (612) 359-9349

RECEIVED
MAY 31 2001
TC-800 MAIL ROOM

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	Atty. Docket No.: 1100.1130101 (H16-25181)	Serial No.: 09/751,422
	Applicant: James Allen Cox et al.	
	Filing Date	Group Art:
	December 29, 2000	2872

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AA	4,317,085	02/23/1982	Brunham et al.	372	50	
AB	4,466,694	08/21/1984	MacDonald	385	37	
AC	4,660,207	04/21/1987	Svilans	372	45	
AD	4,784,722	11/15/1988	Liau et al.	156	649	
AE	4,885,592	12/05/1989	Kofol et al.	343	753 754	
AF	4,901,327	02/13/1990	Bradley	372	45	
AG	4,943,970	07/24/1990	Bradley	372	45	
AH	4,956,844	09/11/1990	Goodhue et al.	372	44	
AI	5,031,187	07/09/1991	Orenstein et al.	372	50	
AJ	5,052,016	09/24/1991	Mahbobzadeh	372	96	
AK	5,056,098	10/08/1991	Anthony et al.	372	45	
AL	5,062,115	10/29/1991	Thornton	372	50	
AM	5,068,869	11/26/1991	Wang et al.	372	45	
AN	5,115,442	05/19/1992	Lee et al.	372	45	
AO	5,140,605	08/18/1992	Paoli et al.	372	50	
AP	5,158,908	10/27/1992	Blonder et al.	438	32-129	
AQ	5,216,263	06/01/1993	Paoli	257	88	
AR	5,216,680	06/01/1993	Magnusson et al.	372	20	
AS	5,237,581	08/17/1993	Asada et al.	372	45	
AT	5,245,622	09/14/1993	Jewell et al.	372	45	
AU	5,258,990	11/02/1993	Olbright et al.	372	46	
AV	5,285,466	02/08/1994	Tabatabaie	372	92	
AW	5,293,392	03/08/1994	Shieh et al.	372	45	
AX	5,317,170	05/31/1994	Paoli	257	88	
AY	5,317,587	05/31/1994	Ackley et al.	372	45	

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

Atty. Docket No.:
1100.1130101 (H16-25181)Serial No.:
09/751,422LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

Applicant: James Allen Cox et al.

Filing Date

Group Art:

December 29, 2000

2872

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AZ	5,325,386	06/28/1994	Jewell et al.	372	50	
BA	5,331,654	07/19/1994	Jewell et al.	372	45	
BB	5,337,074	08/09/1994	Thornton	346 ³⁴⁷	107 ²³⁷	
BC	5,349,599	09/20/1994	Larkins	372	50	
BD	5,351,256	09/27/1994	Schneider et al.	372	45	
BE	5,359,447	10/25/1994	Hahn et al.	359	154	
BF	5,359,618	10/25/1994	Lebby et al.	372	45	
BG	5,363,397	11/08/1994	Collins et al.	372	92	
BH	5,373,520	12/13/1994	Shoji et al.	372	45	
BI	5,404,373	04/04/1995	Cheng	372	50	
BJ	5,416,044	05/16/1995	Chino et al.	438	129 ³⁹	
BK	5,428,634	06/27/1995	Bryan et al.	372	45	
BL	5,446,754	08/29/1995	Jewell et al.	372	50	
BM	5,475,701	12/12/1995	Hibbs-Brenner	372	50	
BN	5,513,202	04/30/1996	Kobayashi et al.	372	96	
BO	5,530,715	06/25/1996	Shieh et al.	372	96	
BP	5,555,255	09/10/1996	Kock et al.	372	96	
BQ	5,557,626	09/17/1996	Grodinski et al.	372	45	
BR	5,561,683	10/01/1996	Kwon	372	96	
BS	5,568,499	10/22/1996	Lear	372	45	
BT	5,598,300	01/28/1997	Magnusson et al.	359	566	
BU	5,606,572	02/25/1997	Swirhun et al.	372	96	
BV	5,642,376	06/24/1997	Olbright et al.	372	45	
BW	5,727,013	03/10/1998	Botez et al.	372	96	
BX	5,774,487	06/30/1998	Morgan	372	45	

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449	Atty. Docket No.: 1100.1130101 (H16-25181)	Serial No.: 09/751,422
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	Applicant: James Allen Cox et al.	
	Filing Date	Group Art:
	December 29, 2000	2872

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
BY	5,778,018	07/07/1998	Yoshikawa et al.	372	45	
BZ	5,818,066	10/06/1998	Duboz	257	21	
CA	5,903,590	05/11/1999	Hadley et al.	372	96	
CB	5,940,422	08/17/1999	Johnson	372	45	
CC	5,978,401	11/02/1999	Morgan	372	50	
CD	6,055,262	04/25/2000	Cox et al.	372	96	

FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
CE	JP 5-299779	11/12/1993	Japan			Yes

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

CF	Banwell et al., "VCSE Laser Transmitters for Parallel Data Links", <u>IEEE Journal of Quantum Electronics</u> , Vol. 29, No. 2, February 1993, pp. 635-644.
CG	Catchmark et al., "High Temperature CW Operation of Vertical Cavity Top Surface-Emitting Lasers", <u>CLEO 1993</u> , p. 138. (no month)
CH	Chemla et al., "Nonlinear Optical Properties of Semiconductor Quantum Wells", <u>Optical Nonlinearities and Instabilities in Semiconductors</u> , Academic Press, Inc., Copyright 1988, pp. 83-120. (no month)
CI	Choa et al., "High-Speed Modulation of Vertical-Cavity Surface-Emitting Lasers", <u>IEEE Photonics Technology Letter</u> , Vol. 3, No. 8, August 1991, pp. 697-699.
CJ	G. G. Ortiz, et al., "Monolithic Integration of In _{0.2} Ga _{0.8} As Vertical Cavity Surface-Emitting Lasers with Resonance-Enhanced Quantum Well Photodetectors", <u>Electronics Letters</u> , Vol. 32, No. 13, June 20, 1996, pp. 1205-1207.
CK	Graf, Rudolph, <u>Modern Dictionary of Electronics</u> , 6 th ed., Indiana: Howard W. Sams & Company, 1984, p. 694. (no month)
CL	Jewell et al., "Surface Emitting Microlasers for Photonic Switching & Intership Connections", <u>Optical Engineering</u> , Vol. 29, No. 3, pp. 210-214, March 1990.

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449	Atty. Docket No.: 1100.1130101 (H16-25181)	Serial No.: 09/751,422
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	Applicant: James Allen Cox et al.	
	Filing Date	Group Art:
	December 29, 2000	2872

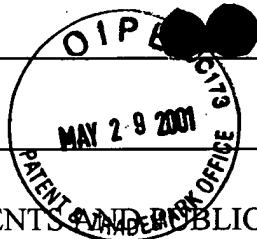
CM	Jewell et al., "Surface-Emitting Microlasers for Photonic Switching and Interchip Connections", <u>Optical Engineering</u> , Vol. 29, No. 3, March 1990, pp. 210-214.
CN	Kishino et al., "Resonant Cavity-Enhanced (RCE) Photodetectors", <u>IEEE Journal of Quantum Electronics</u> , Vol. 27, No. 8, pp. 2025-2034.
CO	Kuchibhotla et al., "Low-Voltage High Gain Resonant Cavity Avalanche Photodiode", <u>IEEE Phototonics Technology Letters</u> , Vol. 3, No. 4, pp. 354-356.
CP	Lai et al., "Design of a Tunable GaAs/AlGaAs Multiple-Quantum-Well Resonant Cavity Photodetector", <u>IEEE Journal of Quantum Electronics</u> , Vol. 30, No. 1, pp. 108-114.
CQ	Lee et al., "Top-Surface Emitting GaAs Four-Quantum-Well Lasers Emitting at 0-85 um", <u>Electronics Letters</u> , Vol. 24, No. 11, May 24, 1990, pp. 710-711.
CR	Lehman et al., "High Frequency Modulation Characteristics of Hybrid Dielectric/AlGaAs Mirror Singlemode VCSELs", <u>Electronic Letters</u> , Vol. 31, No. 15, July 20, 1995, pp. 1251-1252.
CS	Miller et al., "Optical Bistability Due to Increasing Absorption", <u>Optics Letters</u> , Vol. 9, No. 5, May 1984, pp. 162-164.
CT	Morgan et al., "200 C, 96-nm Wavelength Range, Continuous-Wave Lasing from Unbonded GaAs MOVPE-Grown Vertical Cavity Surface-Emitting Lasers", <u>IEEE Photonics Technology Letters</u> , Vol. 7, No. 5, May 1995, pp. 441-443.
CU	Jiang et al., "High-Frequency Polarization Self-Modulation in Vertical-Cavity Surface-Emitting Lasers", <u>Appl. Phys. Letters</u> , Vol. 63, No. 26, December 27, 1993, pp. 2545-2547.
CV	Morgan et al., "High-Power Coherently Coupled 8x8 Vertical Cavity Surface Emitting Laser Array", <u>Appl. Phys. Letters</u> , Vol 61, No. 10, September 7, 1992, pp. 1160-1162.
CW	Morgan et al., "Hybrid Dielectric/AlGaAs Mirror Spatially Filtered Vertical Cavity Top-Surface Emitting Laser", <u>Appl. Phys. Letters</u> , Vol. 66, No. 10, March 6, 1995, pp. 1157-1159.
CX	Morgan et al., "Novel Hybrid-DBR Single-Mode Controlled GaAs Top-Emitting VCSEL with Record Low Voltage", 2 pages, dated prior to December 29, 2000.
CY	Morgan et al., "Progress and Properties of High-Power Coherent Vertical Cavity Surface Emitting Laser Arrays", <u>SPIE</u> , Vol. 1850, January 1993, pp. 100-108.
CZ	Morgan et al., "Progress in Planarized Vertical Cavity Surface Emitting Laser Devices and Arrays", <u>SPIE</u> , Vol. 1562, July 1991, pp. 149-159.
DA	Morgan et al., "Submilliamp, Low-Resistance, Continuous-Wave, Single-Mode GaAs Planar Vertical-Cavity Surface Emitting Lasers", Honeywell Technology Center, June 6, 1995.

RECEIVED
MAY 31 2001
TC 8004 Microprod

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449	Atty. Docket No.: 1100.1130101 (H16-25181)	Serial No.: 09/751,422
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	Applicant: James Allen Cox et al.	
	Filing Date	Group Art:
	December 29, 2000	2872

DB	Morgan et al., "Transverse Mode Control of Vertical-Cavity Top-Surface Emitting Lasers", <u>IEEE Photonics Technology Letters</u> , Vol. 4, No. 4, April 1993, pp. 374-377.
DC	Morgan et al., "Vertical Cavity Surface Emitting Laser Arrays: Come of Age," , Invited paper, <u>SPIE</u> , Vol. 2683-04, OE LASE 96; Photonics West: Frabrication, Testing and Reliability of Semiconductor Lasers, (SPIE< Bellingham, WA, 1996). (no month)
DD	Morgan et al., "Vertical-Cavity Surface-Emitting Laser Arrays" <u>SPIE</u> , Vol. 2398, February 1995, pp. 65-93.
DE	Morgan, "High-Performance, Producible Vertical Cavity Lasers for Optical Interconnects", <u>High Speed Electronics and Systems</u> , Vol. 5, No. 4, December 1994, pp. 65-95.
DF	Morgan, "Transverse Mode Control of Vertical-Cavity Top-Surface Emitting Lasers", <u>IEEE Phot. Tech. Lett.</u> , Vol. 4, No. 4., p. 374, April 1993.
DG	Nugent et al., "Self-Pulsations in Vertical-Cavity Surface-Emitting Lasers", <u>Electronic Letters</u> , Vol. 31, No. 1, January 5, 1995, pp. 43-44.
DH	U.S. Patent Application Serial No. 09/751,423, filed December 29, 2000, entitled "Spatially Modulated Reflector for an Optoelectronic Device".

RECEIVED
MAY 31 2001
TC 2800 MAIL ROOM

EXAMINER: _____ DATE CONSIDERED: _____

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.